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DB-15-01

A

UTILITY PATENT APPLICATION TRANSMITTAL		Attorney Docket No. 1040659-991101			
		First Inventor Grimes et al.			
		Title Automated Process Guidance System and Method			
		Express Mail Label No. EL657235384US			
APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents		ADDRESS TO: Commissioner for Patents Box Patent Application Washington, DC 20231			
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 44] (preferred arrangement set forth below)</p> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R&D - Reference to sequence listing, a table or a computer program listing appendix - Background of the Invention - Brief Description of the Drawings(if filed) - Detailed description - Claim(s) - Abstract of the Disclosure 		<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i></p> <ol style="list-style-type: none"> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ol style="list-style-type: none"> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies; or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies 			
<p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 19 pgs.]</p> <p>5. Oath or Declaration [Total Pages <input type="checkbox"/> pgs.]</p> <ol style="list-style-type: none"> a. <input type="checkbox"/> Newly UNexecuted (original or copy <input type="checkbox"/>) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76.</p>		<p>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of <i>(when there is an assignee)</i> <input type="checkbox"/> Attorney</p> <p>11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment (23 pgs.)</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> Certified Copy of Priority Document(s)</p> <p>15. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>16. <input type="checkbox"/> Other: <input type="checkbox"/> Check # <u>471014</u> in the amount of <u>\$ 355.00</u></p>			
<p>17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:</p> <p><input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: <u>09/292,653</u></p> <p>Prior application information: Examiner <u>M. Pender</u> Group/Art Unit: <u>2762</u></p> <p>For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>					
18. CORRESPONDENCE ADDRESS					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label		<small><i>(Insert Customer No. or Attach bar code label here)</i></small>			
		or <input type="checkbox"/> Correspondence address below			
Name	Gray Cary Ware & Freidenrich LLP				
Address	3340 Hillview Avenue				
City	Palo Alto	State	California	Zip Code	94304-1203
Country	US	Telephone	650-320-7426	Fax	

NAME (Print/Type)	Timothy W. Lohse	Registration No. (Attorney/Agent)	35,255
Signature			Date <u>3/13/2001</u>
			March 13, 2001

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FEE TRANSMITTAL

for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 355.00)

Complete if Known

Application Number	Not Yet Assigned
Filing Date	March 13, 2001
First Named Inventor	Grimse et al.
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	1040659-991101

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	07-1896
Deposit Account Name	

Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 355.00)

2. EXTRA CLAIM FEES

		Extra Claims	Fee from below	Fee Paid
Total Claims	10	-20** = 0	X 0 = 0	0
Independent Claims	3	-3** = 0	X 0 = 0	0
Multiple Dependent		X 0 = 0		

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES	Fee Description	Fee Paid
105	Surcharge - late filing fee or oath	
127	Surcharge - late provisional filing fee or cover sheet	
139	Non-English specification	
147	For filing a request for ex parte reexamination	
112	Requesting publication of SIR prior to Examiner action	
113	Requesting publication of SIR after Examiner action	
115	Extension for reply within first month	
116	Extension for reply within second month	
117	Extension for reply within third month	
118	Extension for reply within fourth month	
128	Extension for reply within fifth month	
119	Notice of Appeal	
120	Filing a brief in support of an appeal	
121	Request for oral hearing	
138	Petition to institute a public use proceeding	
140	Petition to revive – unavoidable	
141	Petition to revive – unavoidable	
142	Utility issue fee (or reissue)	
143	Design issue fee	
144	Plant issue fee	
122	Petitions to the Commissioner	
123	Petitions related to provisional applications	
126	Submission of Information Disclosure Stmt	
581	Recording each patent assignment per property (times number of properties)	
146	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	For each additional invention to be examined (37 CFR § 1.129(b))	
179	Request for Continued Examination (RCE)	
169	Request for expedited examination of a design application	
Other fee (specify)		

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Timothy W. Lohse	Registration No. (Attorney/Agent)	35,255	Telephone
Signature				Date 3/13/2001

WARNING: Information in this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SENT FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

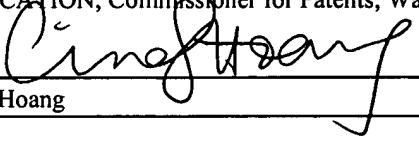
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NUMBER: EL657235384US

DATE OF DEPOSIT: March 13, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box PATENT APPLICATION, Commissioner for Patents; Washington, DC 20231.



Cindy Hoang

* * *

CERTIFICATE OF MAILING BY EXPRESS MAIL

COMMISSIONER OF PATENTS
Washington, D.C. 20231

ATTN: BOX PATENT APPLICATION

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is the patent application of:

INVENTOR(s): Grimse et al.

FOR: AUTOMATED PROCESS GUIDANCE SYSTEM AN DMETHOD

Enclosed are:

- [X] Utility Transmittal (1 pg.)
- [44] pages of specification, claims and abstract
- [X] 19 sheets of Informal Drawings
- [X] Executed Declaration and Power of Attorney from Application Serial No. 09/292,653 (6 pgs.)
- [X] 4 Sets of Form PTO-1595 and Executed Assignments (one from each inventor)
- [X] Fee Transmittal (2 pgs.)
- [X] Check # 471014 in the amount of \$355.00
- [X] Return Postcard

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

J1046 U.S. PTO
09/05/03 03/13/03



Applicants: Mark Grimse et al.

Serial No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filed: March 13, 2001

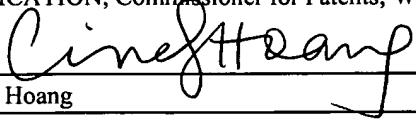
Examiner: Not Yet Assigned

Title: AUTOMATED PROCESS GUIDANCE SYSTEM AND METHOD

EXPRESS MAIL NUMBER: EL657235384US

DATE OF DEPOSIT: March 13, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box PATENT APPLICATION, Commissioner for Patents; Washington, DC 20231.



Cindy Hoang

TRANSMITTAL OF FORMAL DRAWINGS

Commissioner for Patents
Washington, DC 20231

Dear Sir:

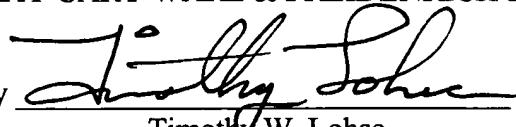
Transmitted herewith are nineteen (19) sheets of formal drawings for the above-identified application.

Please address all future communications regarding this application to:

Timothy Lohse
Patent Department - HV
GRAY CARY WARE & FREIDENRICH LLP
3340 Hillview Avenue
Palo Alto, CA 94304

Please direct all telephone calls to Timothy W. Lohse at (650) 320-7426.

Dated March 13, 2001 GRAY CARY WARE & FREIDENRICH LLP

By 
Timothy W. Lohse
Reg. No. 35,255
Attorney for Applicant

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